



COMPLAINT HANDLING PROCEDURES

At Trapeze Capital Corp. ("TCC"), we want to handle your complaint in the most efficient and professional manner possible. If you have a complaint about the handling of your account by a TCC employee, we request that you submit the details of your complaint, preferably in writing to TCC's Designated Complaints Officer.

Generally, a complaint is defined as: allegations of breach of confidentiality, theft, fraud, misappropriation or misuse of funds or securities, forgery, unsuitable investments, misrepresentation, unauthorized trading relating to the client's account(s), other inappropriate financial dealings with clients and engaging in securities related activities outside of TCC.

Within five business days of receiving your complaint, we will send you an acknowledgment letter and a brochure prepared by the Investment Industry Regulatory Organization of Canada (IIROC) outlining the options available to you should the resolution of your complaint be unsatisfactory.

When TCC begins investigating your complaint, we may need to contact you to clarify the nature of the complaint and obtain additional information to help us resolve the complaint.

Upon completion of our investigation, we will send you a detailed response letter, typically within 90 days of receipt of the complaint. The response letter will provide a summary of our understanding of the complaint, the conclusion we have reached together with an explanation and the available options should you find our response unsatisfactory.